

AO 120 (Rev. 08/10)

TO: Mail Stop 8 Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450	REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK
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In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court _____ for the Eastern District of Texas _____ on the following

☐ Trademarks or ☒ Patents. (☐ the patent action involves 35 U.S.C. § 292.):

DOCKET NO.	DATE FILED	U.S. DISTRICT COURT for the Eastern District of Texas
PLAINTIFF PENSON WORLDWIDE, INC.		DEFENDANT HUDSON BAY CAPITAL MANAGEMENT LP
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 U.S. 7,542,939	6/2/2009	Penson Worldwide, Inc.
2 U.S. 8,090,644	1/3/2012	Penson Worldwide, Inc.
3 U.S. 8,156,035	4/10/2012	Penson Worldwide, Inc.
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In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY <input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading	
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
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In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT		
ORDERED, ADJUDGED AND DECREED that all claims asserted in this suit between Plaintiff Penson Worldwide, Inc. and Hudson Bay Capital Management LP are hereby dismissed without prejudice.		
CLERK	(BY) DEPUTY CLERK Mel Martin	DATE 12/15/2015

Copy 1—Upon initiation of action, mail this copy to Director Copy 3—Upon termination of action, mail this copy to Director
 Copy 2—Upon filing document adding patent(s), mail this copy to Director Copy 4—Case file copy